




TO: State Workforce Innovation Council Chairperson
Marion County Workforce Investment Board Chairperson and Director
Regional Workforce Board Chairpersons
Regional Operators
Directors of Operations for Northern and Southern Indiana

FROM: Andrew J. Penca 
Commissioner, Indiana Department of Workforce Development

DATE: August 22, 2007

SUBJECT: DWD Policy 2007-11
Assessment and Case Management Processes Policy

Purpose

To provide state policy concerning participant assessment and case management processes. This policy covers Trade Adjustment Assistance Act and Workforce Investment Act funding sources.

Rescissions

DWD Communication 2005-26, dated June 15, 2006
Technical Assistance Bulletin (TAB) 2006-01, dated October 5, 2006
Technical Assistance Bulletin (TAB) 2006-01, Change 1, dated November 3, 2006

Content

Indiana's workforce investment boards and regional workforce boards are instructed to develop local assessment and case management processes for adults, dislocated workers, and youth.

Assessment Processes

An assessment process collects and evaluates various data elements concerning an individual. Through assessment an individual and a case manager can develop together the plan of activities and services needed to move the individual to economic self-sufficiency.

1. All adults and dislocated workers participating in Workforce Investment Act intensive services must have a comprehensive and specialized assessment of their skill levels and service needs. Such an assessment may include diagnostic testing and the use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. After moving to intensive services, the participant may continue to receive core services (Section 134(d)(3)(c) of the Workforce Investment Act).

2. Trade Adjustment Assistance requires that all participants be assessed against six specific criteria for the approval of training:
 - (1) There is no suitable employment (which may include technical and professional employment) available for the adversely affected worker.
 - (2) The worker would benefit from appropriate training.
 - (3) There is a reasonable expectation of employment following completion of such training.
 - (4) Training approved by the Secretary [of Labor] is reasonably available to the worker from either governmental agencies or private sources.
 - (5) The worker is qualified to undertake and complete such training.
 - (6) Such training is suitable for the worker and available at a reasonable cost.

The policy addresses those individuals in need of Workforce Investment Act services beyond Significant Staff Involved – Training or Trade Adjustment Assistance participants in need of training to return to work. These same individuals will already have a full application in TrackOne. Local policy will describe how assessments are addressed in the region.

Guidance on assessment instruments is provided:

- The Indiana Department of Workforce Development is not requiring the use of any specific assessment instrument.
- Assessment instruments must be reliable and valid with a norm group representative of the target population. The instrument must be validated and normed using standard psychometric measurement validation/norming processes. The assessment instruments must also be industry-recognized, as appropriate.
- DWD anticipates instruments will be customized to meet local needs.
- Only staff formally trained in administering the specific instrument will give and interpret assessment results.
- Local policy will describe how staff will be trained to give and interpret assessments.
- Staff must follow appropriate procedures when giving assessments and interpreting results.
- Pre- and post-assessments will measure gains. A different version of the assessment will be given as the post-test.
- Appropriate accommodations will be provided for the assessment including special accommodations for individuals with disabilities and English-as-a-Second Language (ESL) populations.

3. All youth participants must receive an objective assessment. An objective assessment identifies the academic levels, skill levels, and service needs of the youth. Also, the objective assessment includes a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs of each youth participant. A new assessment is not required if a previous assessment has been completed within the past year that meets all the requirements contained in this policy.

Case Management

Case management is a goal-oriented process leading an individual to economic self-sufficiency. It is an interactive process between the individual and the case manager. Case management is accomplished, in part, through partnering, coaching, empowering, assessing, planning, following-up, and recording.

1. All adults and dislocated workers enrolled in the Workforce Investment Act or Trade Adjustment Assistance program must have an individual employment plan developed while they are enrolled in intensive services. The cornerstone document of the case file is the individual employment plan¹. This should occur in conjunction with the assessment process.

The specific items to be included in the individual employment plan must be based on the circumstances, plans, and desired outcomes for adults and dislocated workers. The individual employment plan must include the participant's employment goals, achievement objectives, and the combination of services for the participant to achieve the employment goals. All participants who receive case management services (including TAA services) must have a case management file using the Indiana Department of Workforce Development's electronic case management system.

2. All youth must have a service strategy developed. The service strategy will identify an employment goal (including, in appropriate circumstances, nontraditional employment), appropriate achievement objectives, and appropriate services for the participant taking into account the objective assessment. A goal must be set for each youth aged 14 -21. Once the individual reaches age 22, DWD encourages goals still be set. Goals which must be set include Basic Skills, Occupational Skills and/or Work Readiness Skills, as indicated for the Younger Youth Skill Attainment Rate performance standard. Additionally, once these goals are obtained, goals are to be set which help prepare the youth learn the skills identified as "high wage/high demand" in the Department of Workforce Development's Skill Pathways Career Guide. A new service strategy for a youth is not required if staff determines another service strategy developed for the youth participant under another education or training program is appropriate and has been developed within the past year.

Effective Date

July 1, 2007

Review Date

May 30, 2009

Ownership

Career Services

¹ Individual Employment Plan (IEP), Individual Service Strategy (ISS) and Employability Development Plan (EDP) are interchangeable terms. This communication will use the term "individual employment plan."

Action

Local administrators must develop policies consistent with this state policy.

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